
ISC ISC 01 33 00 (February 2009)

Preparing Activity: ISC-ES Superseding
ISC-ES 01 33 00.00 99 (January 2009)

ISC GUIDE SPECIFICATIONS

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01 33 00

SUBMITTAL PROCEDURES

02/09

PART 1 GENERAL

- 1.1 SUMMARY
- 1.2 SUBMITTALS
- 1.3 PREPARATION
 - 1.3.1 Use of Submittal Register
- 1.4 SUBMISSION REQUIREMENTS
 - 1.4.1 Schedules
 - 1.4.2 Subcontractor Use of Submittal Register
 - 1.4.3 Government/Contractor Use of Submittal Register
 - 1.4.4 Copies Delivered to the Contractor
- 1.5 PROCEDURES FOR SUBMITTALS
 - 1.5.1 Reviewing, Certifying, Approving Authority
 - 1.5.2 Constraints
 - 1.5.3 Marking
 - 1.5.4 Contract Drawings
 - 1.5.5 Subcontractor Provided Record Drawings
 - 1.5.5.1 Redlined Record Drawings
 - 1.5.5.2 Civil Record Drawings
 - 1.5.5.3 CONTRACTOR PROVIDED SURVEY SUPPORT
 - 1.5.6 Project Data Format
 - 1.5.7 Samples
- 1.6 SUBCONTRACTOR'S ACTION
- 1.7 CONSTRUCTION MANAGER'S ACTION
- 1.8 ENGINEERING SERVICES/ARCHITECTURAL AND ENGINEERING FIRM ACTION

PART 2 PRODUCTS

PART 3 EXECUTION

- 3.1 GENERAL

-- End of Section Table of Contents --

ISC ISC 01 33 00 (February 2009)

Preparing Activity: ISC-ES Superseding
ISC-ES 01 33 00.00 99 (January 2009)

ISC GUIDE SPECIFICATIONS

SECTION 01 33 00

SUBMITTAL PROCEDURES

02/09

NOTE: This guide specification covers the requirements for general procedures regarding submittals, data normally submitted for review to establish conformance with the design concept and contract documents, called for in other sections of the specifications.

Edit this guide specification for project specific requirements by adding, deleting, or revising text. For bracketed items, choose applicable items(s) or insert appropriate information.

Remove information and requirements not required in respective project, whether or not brackets are present.

Comments and suggestions on this guide specification are welcome and should be directed to the technical proponent of the specification at ISC-ES.

PART 1 GENERAL

1.1 SUMMARY

Requirements of this Section apply to, and are a component part of, each section of the specifications.

1.2 SUBMITTALS

NOTE: Review submittal description (SD) definitions in Section 01 33 00, SUBMITTALS, and edit the following list to reflect only the submittals required for the project. Submittals should be kept to the minimum required for adequate quality control. Include a columnar list of appropriate products and tests beneath each submittal description.

A "G" following a submittal item indicates that the submittal requires Government approval. Some submittals are already marked with a "G". Only

delete an existing "G" if the submittal item is not complex and can be reviewed through the Subcontractor's Quality Control system. Only add a "G" if the submittal is sufficiently important or complex in context of the project.

Submittal items not designated with a "G" are considered as being for Contractor Quality Control approval.

Use a standard submittal form, provided by the Contracts Administrator to the Subcontractor, to transmit each submittal

Submittal Description (SD): Drawings, diagrams, layouts, schematics, descriptive literature, illustrations, schedules, performance and test data, and similar materials to be furnished by the Subcontractor explaining in detail specific portions of the work required by the subcontract.

NOTE: Delete survey requirements if this is exclusively an interior modification resulting in no change to the footprint of the facility or to outdoor utilities. Project Lead is to contact Client to determine which option (Subcontractor provided or Contractor provided survey) Client is willing to fund.

Submittal requirements are specified through out the following sections in the subpart titled "Submittals" and are also listed on the "Submittal Register" at the end of these specifications.

SD numbers and titles identify submittals as follows:

SD-01 Preconstruction Submittals

Submittals that are required before construction work starts. Schedules or tabular list of data including location, features, or other pertinent information regarding products, materials, equipment, or components to be used in the work, submitted prior to subcontract work being initiated or next major phase of construction in a multi-phased construction contract.

[Land surveying, to include all projections and datum points, is required for all modifications affecting civil site plans (e.g., utilities, additions, new construction or storm water modifications). Provide a survey prepared and sealed by a licensed surveyor.]

SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the Subcontractor for integrating the product or system into the project.

Drawings prepared by or for the Subcontractor to show the relationship

of various components of the work, schematic diagrams of systems, detail of fabrications, layout of particular elements, connections, and other relational aspects of the work.

SD-03 Product Data

Data composed of catalog cuts, brochures, circulars, specifications and product data, and printed information in sufficient detail and scope to verify compliance with requirements of the subcontract documents.

Samples of warranty language when the subcontract requires extended product warranties.

SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies, which are to be incorporated into the project and those which will be removed at conclusion of the work.

SD-05 Design Data

Design calculations, mix design analysis, or other data, written in nature, and pertaining to a part of the work.

SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accord with specified requirements. Provide proof that the testing has been performed within three years of date of contract award for the project.

Report, which includes findings of a test, required to be performed by the Subcontractor on an actual portion of the work prototype prepared for the project before shipment to the job site.

Report, which includes finding of a test, made at the job site or on sample taken from the job site, on a portion of work during or after installation.

Investigation reports

Daily checklist

Daily logs reporting on the progress of daily activities or attesting that the work has been installed in accordance with the subcontract plans and specifications.

Final acceptance test and operational test procedures.

SD-07 Certificates

A document required of the Subcontractor, or through the Subcontractor by way of supplier, installer, manufacturer, or other Lower-tier Subcontractor, the purpose of which is to further the quality or orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel, qualifications, or other verification of quality.

Submit statements signed by responsible officials of a manufacturer of a product, system, or material attesting that the product, system or material meets specified requirements. Only statements dated after the award of this subcontract are acceptable, and are to name the project, and list the specific requirements which it is intended to address.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system, or material, including spare parts list, special notices and material safety data sheets, if any concerning impedances, hazards, and safety precautions.

SD-09 Manufacturer's Field Reports

Provide [a] written report[s], signed by an authorized official of a testing laboratory, including the findings of a test made at the job site, in the vicinity of the job site, or on a sample taken from the job site, on a portion of the work, during or after installation. The report is to state the test results; and indicate whether the material, product, or system has passed or failed the test.

SD-10 Operation and Maintenance Data

Data that is furnished by the manufacturer, or the system provider, to the equipment operating and maintenance personnel. This data is needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

SD-11 Closeout Submittals

Special requirements necessary to properly close out a construction subcontract. For example, record drawings, manufacturers's help and product lines necessary to maintain and install equipment, spare parts, O&M manuals and training related items. Also, submittal requirements necessary to properly close out a major phase of construction on a multi-phase subcontract.

1.3 PREPARATION

1.3.1 Use of Submittal Register

A hard copy of the Submittal Register for this project can be found at the end of this specification. The following information (Columns (a) through (f) will be provided by the Contractor and will already be filled out for Subcontractors use.

A electronic copy in Excel format will be provided to the Subcontractor at the time the project is awarded by the Contracts Administrator.

Column (a) Trans-Action Control Number: Numerical sequence number that will be used on the Submittal Approval form to identify which submittal line item or portion of a line item is being answered.

Column (b) Submittal Description (SD) No.: List each submittal and description (SD No. and type, e.g. SD-04 Drawings) required by the appropriate specification section.

Column (c) Specification Section No.: Lists specification section in which submittal is required.

Column (d) Submittal Description: Brief description of what the submittal item is as called out within the specification section.

Column (e) Specification Paragraph No.: Lists principle paragraph in specification section where a material or product is specified. This listing is only to facilitate locating submitted requirements. Do not consider entries in column (e) as limiting project requirements.

Column (f) Approval Authority: This column indicates the reviewing authority for each submittal. A "G" = Government Client, "CA" = Contracts Administrator, "DE" = Engineering Services, "AE" = Subcontract A&E firm, "Q" = QC representative, "S" = Safety, "E" = Environmental Group, and "CM" = Construction Management. If no authority is specified, then "DE" is the defaulting authority.

Prepare and maintain the Submittal Register, as the work progresses and submit it on a monthly basis as directed by the Contracts Administrator. Do not change data, which is output in column (a), (b), (c), (d), (e) or (f) as delivered by Contractor.

1.4 SUBMISSION REQUIREMENTS

1.4.1 Schedules

Within 15 days of notice to proceed, provide, for approval by the Contracts Administrator, the following:

Prepare a schedule of submittals as required by the specifications and drawings and the special conditions. Indicate the numerical sequence number; specification or drawing reference requiring the submittal; the material, item, or process for which the submittal is required; the "SD" number and identifying title of the submittal; the Subcontractor's anticipated submission date and the approval need date. The submittal register can be used for this schedule.

1.4.2 Subcontractor Use of Submittal Register

The following columns (g) through (k) are to be filled out by the Subcontractor.

Column (g) Subcontractor Submittal No.: A number established by the subcontractor used for his/her internal tracking purposes.

Column (h) Planned Due Date: A predetermined date established by the Subcontractor for the Contractor to receive submittals. Refer to required submittal schedule discussed above.

Column (i) Actual Date Submitted: The actual date for the Contractor to

receive submittals.

Column (j) Approval Authority Action Code: A required action to be conducted by the Subcontractor after receiving the reviewed submittal.

Column (k) Returned Action: The actual date for the Contractor to receive re-submittals based upon the action code listed in column (j).

Column (l) Remarks: Special notations.

1.4.3 Government/Contractor Use of Submittal Register

Construction Management will review the submittal register upon receipt of the initial Subcontractor input and, if necessary, inform Contracts Administrator of any discrepancies and/or resubmission of subcontractor dates.

Should a conflict exist between the specifications and the special conditions regarding the submission of the submittal register, the special conditions will prevail.

Submittals will be returned to the Subcontractor with the Engineering Services or A/E firm's Action Stamp notations listed in 1.8 c.

1.4.4 Copies Delivered to the Contractor

Deliver one copy of submittal register updated by Subcontractor to Contractor monthly or with each invoice request, whichever is more frequent.

1.5 PROCEDURES FOR SUBMITTALS

1.5.1 Reviewing, Certifying, Approving Authority

Engineering Services is the primary authority responsible for reviewing and approving submittals to ensure that they are in compliance with technical requirements as specified in the SOW. The submittals will always be entered into the submittal database at the time of receipt and return to the Subcontractor.

1.5.2 Constraints

a. Submittals listed or specified in this subcontract are to conform to the provisions of this section, unless explicitly stated otherwise.

b. Provide submittals which are complete for each definable feature of work, including components of definable features interrelated as a system at same time.

c. When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals, submittal will be returned without review.

d. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

1.5.3 Marking

Provide permanent marking on each submittal to identify it by subcontract

number, transmittal date and Subcontractor.

1.5.4 Contract Drawings

Submit newly prepared information, drawn to accurate scale. Highlight, encircle, or otherwise indicate deviations from the Contract Documents. Do not reproduce Contract Documents or copy standard information as the basis of Shop Drawings.

Standard information prepared without specific reference to the project is not considered Shop Drawings and will be returned without review.

Prepare drawing submittals conforming to the A/E/C CADD Standard (ERDC/ITL TR-01-06.) Submit one hard copy and a reproducible electronic file on CD. If drawings and/or other documents are not in electronic format seven (7) hard copies will be required.

Prepare drawing submittals on translucent, reproducible sheets, not less than 210 by 297 millimeter 8-1/2 by 11 inches nor larger than 841 by 1189 millimeter 30 by 42 inches in size, except for full size patterns or templates. Provide reproducible drawings with dark lines on a white background suitable for microfilming and reproduction with a quality to produce clear, distinct lines and letters.

Include the following information, clearly marked on copies of each drawing:

- a. Job name and Subcontract number, matching the general title of the subcontract drawings.
- b. Date of drawings and revisions.
- c. Name of Subcontractor
- d. Name of all Lower-tier Subcontractor's
- e. Name of the item, material, or equipment detailed thereon.
- f. Number of the submittal (e.g., first submittal, etc.) in a uniform location adjacent to the title block.
- g. Place the Government/Contractor contract number in the margin, immediately below the title block.

Number drawings in logical sequence. Subcontractor may use his own numbering system with each drawing bearing the number of the submittal in a uniform location adjacent to the title block.

Reserve a blank space, no smaller than 76 x 127 millimeter 3 x 5 inches, on the right hand side of each sheet for the Contractor disposition stamp.

NOTE: Select part 1.5.5 or 1.5.6 depending upon the
contract requirements and funding allocation.

1.5.5 Subcontractor Provided Record Drawings

1.5.5.1 Redlined Record Drawings

Submit a redlined set of record drawings prior to final inspection. Keep redlined drawings at the project site and be present for the final inspection. The Construction Inspector along with the Project Superintendent will sign off on the record drawings every 30 days prior to each invoice cycle attesting to their completeness. Within seven (7) days after the final inspection submit to the Contracts Administrator three (3) copies of the redline drawings.

1.5.5.2 Civil Record Drawings

NOTE: Editor to use either 1.5.5.2 or 1.5.5.3. Do not include both.

Record drawings are to include all civil site developments such as new facility and/or land modifications, external structural changes to above ground structures, and changes to underground structures and utilities external to facilities located on lands owned by or held in leasehold interest of the federal government.

Submittal of the completed drawings by the Subcontractor certifies accuracy and completeness of the documents. Nonconformity with any of the following requirements will result in withholding of vendor payments.

Information in record drawings is to include, but not limited to:

- a. Location of all new lines, conduits, valves, fittings, fire hydrants, meters, terminal points using at least two ties to permanent points (manholes, power poles, curbs, or storm water inlets), or GPS coordinates with accuracy to at least 1 meter, or better if more stringent accuracy requirements are specified in other sections of this subcontract. An acceptable station and offset system may be used for service lines and fittings only.
- b. Location of new lines from property easement lines or edges of pavement at intervals of 300 feet.
- c. Reflect all utility routing and interface changes on the drawings to scale and defined with sufficient dimensions.
- d. Provide support for obtaining surveyed coordinates for facility footprint corner and underground structures and utilities external to facilities by submitting Form ENG-F-CE06 to the Contracts Administrator at least five (5) working days prior to foundation construction or open excavation as notification to the Survey Services Department.
- e. Prepare record drawing prints at a minimum scale of 1 inch = 100 feet. Enlarge as necessary all areas requiring additional detail.
- f. Provide record drawings in digital format. Geospatially referenced files are to be in ESRI GIS Geodatabase, ESRI GIS Shapefile, Microstation DGN, AutoCAD DWG or DXF file format. Provide information in separate layers/levels as specified by GIS in at least the same

degree of separation as the design drawings provided. Contain in the same levels any new like items to permit easy conversion to GIS layers.

g. Use spatial reference as:

Horizontal accuracy: Reference all surveys/drawings to Florida State Plane Coordinate System, East Zone, North American Datum 1983/1990 adjustment based on Second Order Class II horizontal control monument.

Vertical accuracy: Reference all surveys to North American Vertical Datum (NAVD) 1988. Include a description of the reference benchmarks from which the NAVD has been determined in the survey.

h. Make all lines, letters, and details sharp, clean, and fully legible.

i. One reproducible print and one digital copy in an electronic storage media are required for submittal.

] 1.5.5.3 CONTRACTOR PROVIDED SURVEY SUPPORT

NOTE: The Survey Services Department will provide the RPIS Office the required certified survey data to update CCSGIS Survey work supporting this effort when the Subcontractor is not required by the Contractor to provide certified record drawings. Funding will be either through baseline subcontract funding, through inclusion in project-to-project funding, or discretionary Work Order. Funding source will be at the discretion of the Contractor.

For all land surveys, notify Survey Services Department, through the Contracts Administrator fifteen (15) days in advance and prior to completion of foundation construction for all civil site developments and/or any changes to underground structures and utilities external to facilities. This includes, but is not limited to construction, modification or burying of underground utilities on lands owned by or held in leasehold interest of the federal government. Submit ENG-F-CEO6 as notification to the Survey Services Department.

] 1.5.6 Project Data Format

Collect Product Data into a single submittal for each element of construction or system. Product Data includes printed information such as manufacturer's installation instruction, catalog cuts, standard color charts, roughing-in diagrams and templates, standard wiring diagrams and performance curves. Submit as "Shop Drawings when Product Data is specially prepared because standard printed data is not suitable for use.

a. Mark each copy to show applicable choices and options. Markings are to be clearly visible on each copy submitted. Where printed Product Data includes information on several products, some of which are not required, mark copies to indicate the applicable information. Include the following information:

1. Manufacturer's printed recommendations.
 2. Compliance with recognized trade association standards.
 3. Compliance with recognized testing agency standards.
 4. Application of testing agency labels and seals.
 5. Notation of dimensions verified by field measurement.
 6. Notation of coordination requirements.
- b. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
- c. Poor quality copies and illegible submittals will be rejected and returned without review.**

1.5.7 Samples

One set of identified samples are to be submitted. A copy of the submittal form, marked with review notations including selections by the Contracts Administrator, will be returned to the Subcontractor.

Samples are to be physically identical with the proposed material or product to be incorporated in the work, fully fabricated and finished in the specified manner, and full scale. Where variations in color, finish, pattern, or texture are inherent in the material or product represented by the sample, multiple units of the sample, showing the near-limits of the variations and the "average" of the whole range (not less than 3 units), submit for each submittal requested. Mark each unit to describe its relation to the range of the variation. Submit a full set of available choices where samples are specified for selection of color, finish, pattern, or texture for the material or product specified. Sizes and quantities of samples are to represent their respective standard unit.

Samples that are intended or permitted to be returned and actually incorporated in the work are so indicated in the individual technical sections. These samples will be returned to the Subcontractor, at their expense, to be clearly labeled, with installation location recorded. Maintain samples in undamaged condition up to the time of installation.

[Where mockups and similar large samples are required by individual technical sections, it is recognized that these are a special type of sample which cannot be readily "transmitted" as specified for submittal of samples. Otherwise, and except as indicated in the individual technical sections, the requirements for samples are to be complied with, and a transmittal form is to be processed for each mockup, to provide a record of the activity.]

1.6 SUBCONTRACTOR'S ACTION

Before submitting for review, check submittals from Lower-tier subcontractors for accuracy, ascertain that all work contiguous with and having bearings on other work shown is accurately drawn, and that work shown is in conformity with the Contracts requirements.

All Lower-tier submittals are to bear a Subcontractor stamp that clearly states as evidence that such drawings and details have been checked and, by

signature, he so certifies. **Any submittals without such executed stamp of approval will be returned to the Subcontractor without review.** In such event, it will be deemed that the Subcontractor has not complied with this provision and is responsible and at risk for all delays as if no submittal was ever submitted.

Submittals for either original submission or when resubmitted with corrections, constitute evidence that the Subcontractor has checked all information thereon, and that he accepts and is willing to perform the work as shown per current related industry standard practice.

Cost of any changes in construction, all additional costs including coordination, due to improper checking and coordination by the Subcontractor are to be paid for by the Subcontractor.

1.7 CONSTRUCTION MANAGER'S ACTION

Any changes in construction due to the oversight of the Construction Manager, Architect, or Design Engineer, in noting errors in submittals or coordination by the Subcontractor does not relieve the Subcontractor of the compliance with the contract documents. All costs to correct errors due to lack of compliance or coordination are the responsibility of the Subcontractor.

1.8 ENGINEERING SERVICES/ARCHITECTURAL AND ENGINEERING FIRM ACTION

a. Except for submittals for record, information or similar purposes, where action and return is required or requested, the Architect/Engineer is to review each submittal, mark to indicate action taken, and return promptly.

1. Compliance with specified characteristics is the Subcontractor's responsibility.

b. The submittal review by the Architect/Engineer is general in nature. General review does not relieve the Subcontractor of responsibility for accuracy of such submittals, nor proper fitting, construction of work, furnishing of materials, or work required by the Contract Documents and not indicated on submittals. Approval of a specific item does not imply approval of an assembly in which this item is a component.

1. Review of submittals and schedules does not relieve the Subcontractor from responsibility for any violation indicated on such submittals or schedules of local, county, state or federal laws, rules, ordinances, or rules and regulations of commissions, boards or other authorities or utilities having jurisdiction.

c. Action Stamp: The Architect/Engineer is to stamp each submittal with a uniform, self-explanatory action stamp, appropriately marked, as follows, to indicate action taken:

1. Submittals marked "approved" authorize the Subcontractor to proceed with the work covered.

2. Submittals marked "approved as noted" authorize the Subcontractor to proceed with the work covered provided he takes no exception to the corrections. Incorporate notes prior to submission of the final submittal.

3. Submittals marked "return for correction" require the Subcontractor to make necessary corrections and revisions and to re-submit them for approval in the same routine as before, prior to proceeding with any of the work depicted by the submittal.

4. Re-submit submittals marked "not approved" or "disapproved/resubmit" with appropriate changes per the subcontract requirements. No component or partial item of a resubmittal may be accomplished until the submittals are completely approved or approved as noted.

5. Make corrections required by the Contracts Administrator. If the Subcontractor considers any correction or notation on the returned submittals to constitute a change to the subcontract drawings or specifications; give notice as required under the clause entitled, "Changes" to the Contracts Administrator. Approval of the submittals by the Contractor is not to be construed as a complete check, but only that the general method of construction and detailing is satisfactory. Subcontractor is responsible for the dimensions and design of connection details and construction of work.

6. If changes are necessary to approved submittals, make such revisions and resubmit the submittals in accordance with the procedures above. No item of work requiring a submittal change is allowed until the changed submittals are approved.

d. Other Action: Where a submittal is primarily for information or record purposes, special processing or other activity, the submittal will be returned, marked "No Action Required".

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

3.1 GENERAL

Provide exactly those materials and equipment as submitted or as indicated in the specifications and drawings. An elected deviation of a material or equipment requires approval prior to installation of that item. A deviation is defined as any material or equipment variation, exception, alternate, or departure from subcontract specifications or drawings. Clearly highlight or mark all deviations (in particular, equipment/component electrical requirements and performance characteristics as compared to those in the contract specifications).

If material or equipment to be used and/or installed is exactly as noted in these specifications (model no., manufacturer, option items, etc.), a submittal is not required. Instead, submit a letter of certification/compliance that references the pertinent specification paragraph(s).

-- End of Section --